Eurex Clearing C7

Derivatives Clearing GUI 2.0 - User Manual

Version 2.0

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1 Introduction

This document provides a detailed description of Eurex Clearing's Derivatives Clearing GUI, which supports clearing functions through its web based graphical user interface.

Note: Data contained in the screenshots and samples in this publication are for illustrative purposes only and should not be relied upon as a true representation of the current market.

Cross references to other chapters within this document are always clickable, but not marked separately.

Changes applied to this document after the last version has been published (other than grammar/ spelling corrections) are marked with a change bar in the left margin as demonstrated in this paragraph. Old change bars will be removed from version to version.

1.1 Purpose

This document is intended for Member clearing personnel using the system.

The purpose of the "Derivatives Clearing GUI 2.0 - User Manual" is to identify the supported business functions, explain the structure and the content of the windows, and familiarize the user with the "look and feel" of the Derivatives Clearing GUI and its features.
This user guide is intended to be a reference guide, where information about GUI windows can be quickly retrieved. It focuses on giving detailed descriptions of all windows and related functions.

The user guide consists of 4 chapters and an appendix:

- Chapter 1 "Introduction" introduces the user guide and how to access the application.
- Chapter 2 "Common window elements" describes generic functions of the application.
- Chapter 3 "Window overview" gives an overview of the Derivatives Clearing GUI and window flow.
- Chapter 4 "Window layouts and descriptions" describes the Derivatives Clearing GUI windows in detail.
- The Appendix provides additional information.

1.2 Prerequisites

To ensure that each user can run the Derivatives Clearing GUI, the following prerequisites need to be met:

- A certificate needs to be uploaded to the Member Section and installed in the browser (for further information refer to the "Clearing GUIs - Access Guide" available on the Eurex Clearing website).
- Working access to the Derivatives Clearing GUI. The user should check with his network and system administrators that all network, hardware and Eurex Clearing frontend software configuration requirements have been met.
- A valid user ID for the Eurex back-end.
- A login identification and password for the Derivatives Clearing GUI.

1.3 System requirements

The Derivatives Clearing GUI is a web based application which is accessed via a web browser. To run the GUI the following requirements have to be fulfilled:

- One of the following supported web browsers must be installed:
  - Microsoft Internet Explorer 9 or higher,
  - Mozilla Firefox Extended Support Release (v31 or higher),
  - Google Chrome v29 or higher.
  - Other web browsers may work as well, but are not explicitly supported by Eurex Clearing.
- SSL transport and JavaScript must be enabled (for further information refer to the “Clearing GUIs - Access Guide” available on the Eurex Clearing website).

1.4 System access

1.4.1 Initial authorization

In order to gain access to the Derivatives Clearing GUI a Member must be authorized by Eurex Clearing. Therefore, the following steps have to be taken:

(1) In the first step, the Member must provide the user ID and contact details of a security administrator to Member Services & Admission. This person is granted C7 access by setting the RAL 102 “C7 GUI Access” to 1.

(2) On the following business day the security administrator receives a randomly created password via email.

(3) With this initial password the security administrator can log in to the Derivatives Clearing GUI. On the first successful login a password change is required.

(4) In the next step, the Member’s security administrator can set RAL 102 to 1 on user level to provide C7 access for the individual users.

(5) On the following business day the user’s initial passwords can be created. This is done by resetting the password for each user. Please refer to the description of the *Reset Password* window for further information.

(6) The new passwords have to be communicated to the respective users. They can log in to the Derivatives Clearing GUI with their existing Eurex user ID as a user name and their initial password which they received from the security administrator. On the first successful login a password change is required.

For further information refer to the “Member and User Maintenance Guide” available on the Eurex Clearing website.

1.4.2 Session timeout

Once the user has successfully logged in to the Derivatives Clearing GUI a “session” is established. In case of inactivity, the session expires after a certain time, currently 30 minutes. Activity, in this context, is assumed as long as requests are exchanged with the backend at Eurex Clearing. Hence, scrolling up and down in a list of already inquired records may be considered as inactivity and the session might expire after the timeout period.

If the user tries to send a request after the session has expired, he is asked to login again and a new session is started. Furthermore, the session is closed when the end-of-day processing starts. During this time, no requests can be exchanged with the Eurex Clearing backend.

1.4.3 Connection failures

The Derivatives Clearing GUI is a web based application in which all functions are triggered by user requests. Hence, no automatic notifications inform the user in case of a connection failure. Depending on the reason for a failure, different kinds of behavior may occur:

- **Backend failure**
  In case the connection to the backend at Eurex Clearing is interrupted, every attempt to send a request to the backend results in an error message displayed in the message bar of the current window. Only data which has been received prior to the interruption can be viewed in the GUI.
- **Web server failure**
  If the web server which hosts the Derivatives Clearing GUI happens to be unavailable, the browser will display an error page informing the user that the web server is unable to show the requested page. In this case, no interaction with the GUI is possible.
- **Missing Member certificate**
  If a user attempts to access the Derivatives Clearing GUI without a valid certificate, nothing will be shown.
- **Network failure**
  Since the Derivatives Clearing GUI is a web based application, no interaction is possible if the network connection is faulty. Should the connection via leased line be interrupted, the user can use the URL for Internet access to the Derivatives Clearing GUI with the same certificate as used for leased line access. In case the Internet connection is interrupted, Eurex Clearing is not responsible for the failover concept.

With the exception of network failures all connection failures have the same effect as a logout, i.e. the user session is terminated. To access the GUI after the problem has been solved, the user needs to login again.

2 Common window elements

The following section provides an overview of the standard window components and introduces specific terms that are used in this document.

The screenshots shown in this user guide only serve as examples. The look and feel of the Derivatives Clearing GUI may differ slightly depending on the used operating system and web browser.

2.1 Application header

Regardless of the currently displayed window, the application header is always displayed in the top area of the Derivatives Clearing GUI. On the left hand side it provides a menu bar to navigate quickly through the different windows of the application.

Application header

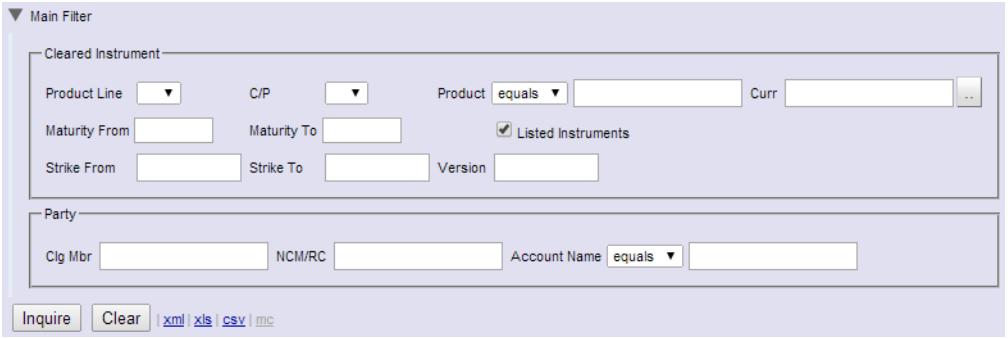
On the right hand side various functions can be accessed. First, the number of export files which are ready for download is displayed. Clicking on this information opens the *Downloads* window. Furthermore, the currently logged-in user is displayed in the application header. Next to the user name there is the *Reset Password* button if the logged-in user is entitled to use this function and the *Logout* button to log off from the current user session.
Every window provides access to the online help via the *Help* link. Clicking this link opens the respective online help page for the currently displayed window.

2.2 Filter function

Every window that is capable of displaying a larger set of data provides a filter function. This makes it easier to inquire on data of interest. It is possible to make an inquiry without specifying any filter criteria. However, it is very likely that such an inquiry results in a data set which is too large to be displayed in the GUI (as detailed in section 2.3.1). To reduce the amount of information to a feasible extent, different filter criteria can be entered. Different filter fields are logically “AND” connected, i.e. an element is only included in the inquiry result if all the entered filter criteria apply.

The filter function supports various kinds of fields, each of which offers different features to support the user in entering filter criteria. These fields are grouped into individual sections which can be extended and collapsed separately. The most important filters can be found in the *Main Filter* section, whereas additional fields for a more detailed filtering are contained in further sections, e.g. in the *Advanced Filter* section.

At the bottom of each filter area there is the *Inquire* button to start the inquiry and the *Clear* button to empty all the filter fields at once.



Sample filter area

2.2.1 Multiple values

The filters for product symbols, account owners, account sponsors and account names support the inquiry of multiple values at once. The different values have to be entered into the filter field, separated by a comma. They are logically “OR” connected, i.e. the inquiry result contains all elements that match any of the entered values for that particular filter and the values of the other criteria, respectively.

2.2.2 Wildcard filter

For some filters an additional drop-down list is provided to select how the entered filter criterion is supposed to be used. By default, the “*equals*” filter is preselected. Hence, the inquiry returns elements that match exactly the entered value in the respective criterion. The user can also filter for content that “*begins with*”, “*ends with*”, “*contains*”, “*does not equal*” or “*does not contain*” a certain text string.

2.2.3 Range filter

Some criteria (such as dates or prices) offer the possibility to filter explicitly for a certain range. In this case, two entry fields are provided for one criterion to enter the lower boundary (*From* value) and the upper boundary (*To* value). In order to inquire on exactly one specific value, both the lower and the upper boundary need to be filled with the same value. After entering the lower boundary and selecting another entry field, the upper boundary is filled in with the same value automatically.

If only the lower boundary is filled in and the upper one is removed again, the inquiry returns all elements that have a value greater or equal to the entered criterion and vice versa. If both boundaries are filled with different values, the inquiry returns elements in between those boundaries, including the borders.

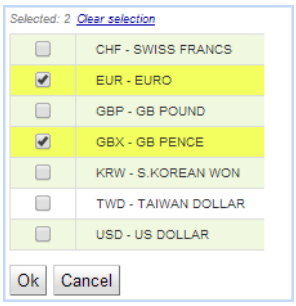
While entering ranges it is automatically validated that the upper boundary is greater than or equal to the lower boundary. If this is not the case, the invalid entry is highlighted and a respective tooltip is displayed.

2.2.4 Drop-down list

If there is only a limited number of input values for a criterion (e.g. filter for call or put), a drop-down list with possibilities to choose from is offered. The list can be accessed by clicking the downwards arrow at the right side of the filter field.

2.2.5 Multi selection list

For some criteria it is possible to include multiple values in the inquiry (e.g. different currencies). In that case, a multi selection list is offered by clicking the .. button next to the filter field. One or more items can be selected to be included in the filter result. After confirming the selection by clicking the *Ok* button, they are automatically filled in into the respective filter field.

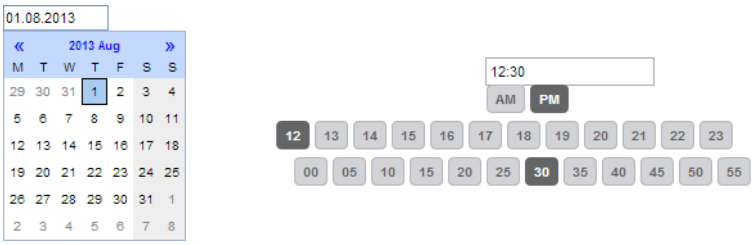


Sample multi selection list

2.2.6 Date and time picker

Filter fields which are supposed to be filled with a date provide a date picker. When the respective filter field is accessed, a small calendar opens. The date can be selected by clicking on the desired day. The arrows pointing to the left and the right can be used to navigate between the months.

A similar feature is available for time filters. When such a field is accessed, the time picker opens below it and allows to select a time using the mouse. Filtering for times always requires to fill in the date filter as well. If the date is left blank, the respective time filter field is highlighted and a tooltip explains that a date must be entered.



Date and time picker

2.2.7 Check box

A filter check box specifies whether a certain element should be included in the inquiry result or not.

2.2.8 Radio buttons

Radio buttons give the opportunity to select one out of several mutually exclusive options. Usually, it is mandatory to choose an option. In this case, one radio button will always be pre-selected when the window is opened.

2.3 Display tables

In the Derivatives Clearing GUI inquiry results and datasets alike are presented in form of spreadsheets. These display tables are the main part of a window. They are filled upon inquiry or automatically when a window is called from another window to display detailed information.

Selected: 3 Displaying items from 9 to 31 of 31

Exchange	Clg Mbr	NCM/RC	Account Name	Curr	Instrument Symbol	Tran Date
XEUR	GCMFR	NCMFR	AAA	CHF	C SBVN JUN14 450.000000	2013-12-18
XEUR	GCMFR	NCMFR	AAA	CHF	P SBVN MAR14 475.000000	2013-12-18
XEUR	GCMFR	NCMFR	AAA	CHF	P SBVN JUN14 450.000000	2013-12-18
XEUR	GCMFR	NCMFR	EXZ	CHF	C SBVN JUN14 450.000000	2013-12-18
XEUR	GCMFR	NCMFR	EXZ	CHF	P SBVN MAR14 475.000000	2013-12-18
XEUR	GCMFR	NCMFR	EXZ	CHF	P SBVN JUN14 450.000000	2013-12-18
XEUR	GCMFR	NCMFR	AAA	EUR	FDAX JUN14	2013-12-18
XEUR	GCMFR	NCMFR	AAA	EUR	C FIA5 JUN15 14.000000	2013-12-18
XEUR	GCMFR	NCMFR	AAA	EUR	FIAF DEC13	2013-12-18
XEUR	GCMFR	NCMFR	AAA	EUR	FIAF MAR14	2013-12-18
XEUR	GCMFR	NCMFR	AAA	EUR	FIAF APR14	2013-12-18
XEUR	GCMFR	NCMFR	AAA	EUR	FIAF SEP14	2013-12-18

Sample display table

Directly above the table additional meta information regarding the displayed data is provided. The total number of items is given along with an information about which items are currently displayed. It depends on the size of the browser window how many items can be displayed at a time. The display table automatically occupies the maximum available space to display as much data as possible, but it might not always be possible to display all entries. In this case the table can be scrolled vertically and horizontally.

To use the whole table in a different application, a separate export function is provided (see section 2.4 “Export functionality”).

To further process certain records, they can be selected either by clicking the check box in the very first column or by clicking anywhere in the respective row. Selected records are marked with an activated check box and a different background color. Multiple items can be selected by clicking on one row after the other. Holding the Shift key while selecting two records automatically selects all the rows in between as well. Moreover, all rows can be selected at once by clicking the “Select All” check box. The number of currently selected items is displayed above the table.

2.3.1 Display of results

An inquiry with only a few or even no filter criteria filled in can result in a very large number of records. To prevent potential performance issues the number of displayed items is limited. If the system limit of displayable items has been exceeded, the user gets to choose between three options:

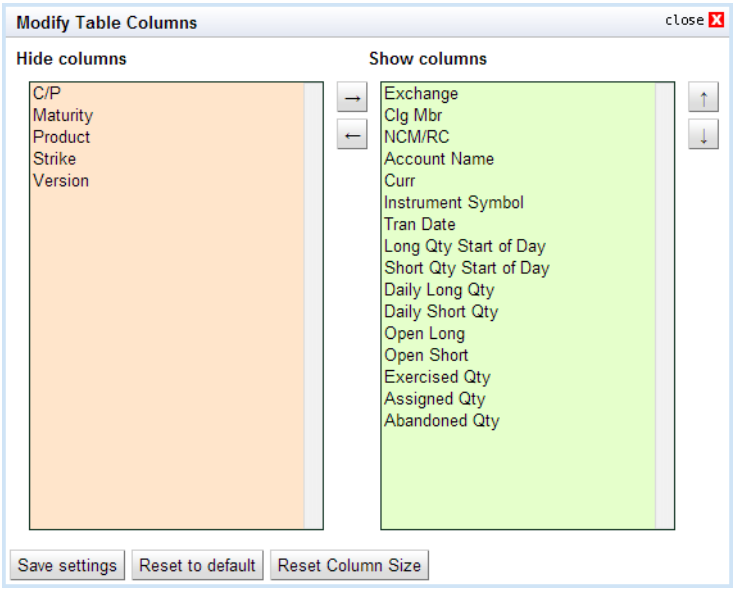
- View only the first 1,000 items from the result
- Download the results as an exported file (up to 10,000 items)
- Refine the filter criteria to further limit the number of results.

If the number of results is even too large to prepare a downloadable file, the filter criteria need to be refined to get a result.

Data records which are currently displayed are not updated automatically if something has changed in the background. To see the latest data, the records needs to be re-inquired.

2.3.2 Customization

Display tables can be configured to the user's individual needs. The column width can be changed by dragging the border of the column header to enlarge or reduce the width.
Clicking the button opens the column selection window. There, the column width can be reset to the default. Furthermore, the order of the columns can be changed and columns that are not needed can be hidden from the table.

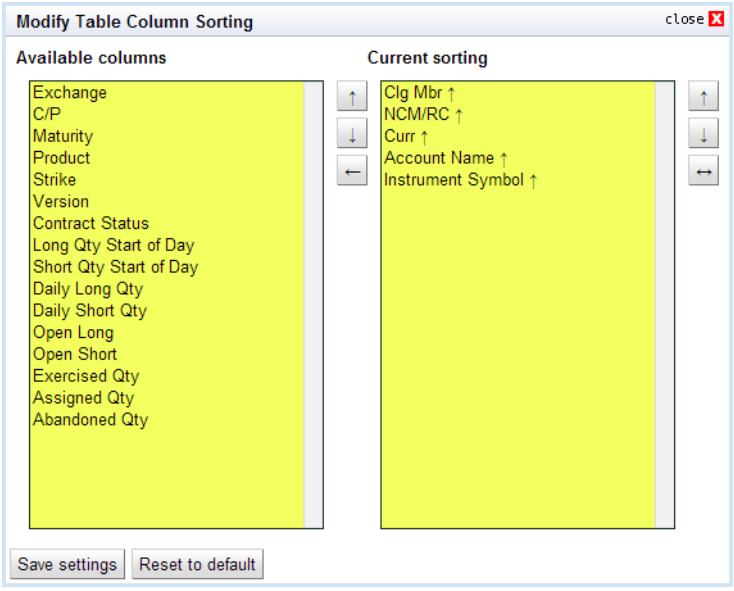


Column selection window

2.3.3 Sorting functionality

The items displayed in tables can be sorted in ascending or descending order. Clicking on the column header arranges the table content in ascending order according to that column. Another click on the same header reverses the sorting order. The column which is currently selected for sorting is indicated by an up- or downward arrow showing the sorting direction.
It is possible to select further columns as sorting criteria by holding down the Control key while clicking on one column header after the other in the desired order.

A sorting scheme invoked by clicking on the column headers is only valid for the current session or until a browser refresh. To save the sorting settings permanently, open the column sorting window by clicking the button. In this window, the sortable columns are listed. They can be added to the sorting scheme. For each column, the sorting direction and the rank in the sorting order can be defined.



Column sorting window

Generally, the sorting function is available for every column. Certain attributes, however, might be excluded from sorting. Clicking on their column header does not have any effect on the order of the displayed items. Sorting is always applied to all items that meet the entered filter criteria, even if only a part of the inquiry result is currently visible in the display table.

2.4 Export functionality

All main windows provide an option to export data in different file formats. To export the data as specified in the filter section, click on one of the export file types at the bottom of the filter area. The data is inquired based on the filter criteria at the moment the export is requested. The following file types are supported:

- XML
- XLS (Microsoft Excel 2003 and newer)
- CSV (comma separated values)

In addition to these file types, the *Position Overview* window provides an option to download the table content in a file which can be uploaded to the Margin Calculator. If the *mc* export is clicked, a CSV file is prepared that contains the necessary columns for an upload to the Margin Calculator. This function is only available if the *Clg Mbr* and the *NCM/RC* filter fields are filled and the *Include expired positions* checkbox is unchecked.

Independent from the format all exported files contain a CET timestamp of their creation time, the current filter settings and the number of exported records. The export time is contained in the file name as well.

The files are prepared in the background. When they are ready for download, all exports are listed in the *Downloads* window. From there, they can be downloaded as long as the user is logged in. Files which are not needed any longer can be removed manually from this list.

2.5 Message log

The message log is part of every window that features any user action. It is located at the bottom of each window. The message log informs the user about all relevant messages, such as details about performed processing steps or what the outcome of a submitted request was (success/ failure including reason).

The message log only shows information regarding the current window. Hence, it is empty if the window has just been opened.

3 Window overview

Transaction Management
Position Overview
Position Close Out / Re-open
Upload Position Close Out
Position Transfer Entry
Upload Position Transfer
Exercise Overview
Transaction Overview
Transaction Separation
Transaction Account Transfer
Transaction O/C Adjustment
Transaction Text Adjustment

Settlement
Exercise Assignment Overview
Exercise Overview

Account Management
Account Overview

File Upload
Upload Position Close Out
Upload Position Transfer

Auxiliary Windows
Downloads
Reset Password

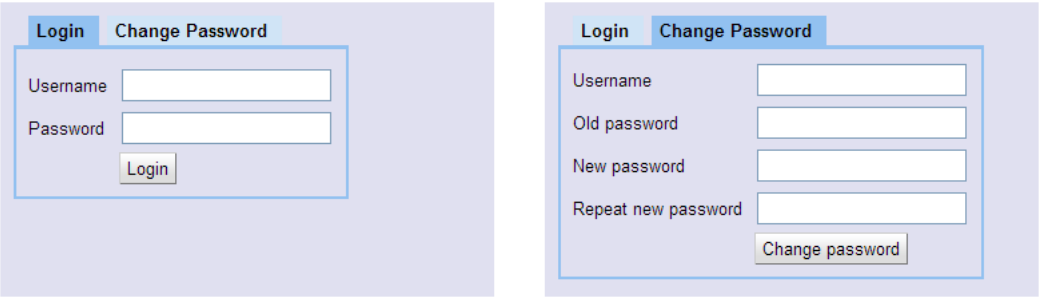
4 Window layouts and descriptions

This section describes the layout and functionality of individual GUI windows.

4.1 Login

4.1.1 Description

The *Login* window is the first view that is presented when accessing the Derivatives Clearing GUI. It is used to log in to the application and to change the user password.



Login and Change Password window

4.1.2 Functionality

Login

To login to the Derivatives Clearing GUI enter the user credentials into the *Username* and *Password* fields and click the *Login* button.

Change Password

In general, the password to login to the application is valid for 90 days. A few days before expiry the user is asked to enter a new password. Initially, this is optional. On expiration day, the user is automatically redirected to the *Change Password* tab after the login and must enter a new password. If the password has expired, the user must request a password reset from his security administrator.
A password change is also mandatory if an initial or reset password is used for login. In addition to these cases, a password can be changed manually at any time via the *Change Password* tab. The user name and the current password have to be entered to authenticate the user. Then, the new password must be entered twice to prevent typos in the spelling. The new password must comply with the following rules:

- between 8 and 16 characters long
- use at least one character from each of the following 4 categories: numeric characters (0-9), uppercase letters (A-Z), lowercase letters (a-z), special characters
- differ from the last 10 passwords

The password change is effective immediately.

4.1.3 Screen elements

Login - Fields	
Field	**Description**
Username	User ID of the user who is supposed to be logged in.
Password	Password that belongs to the entered user ID.

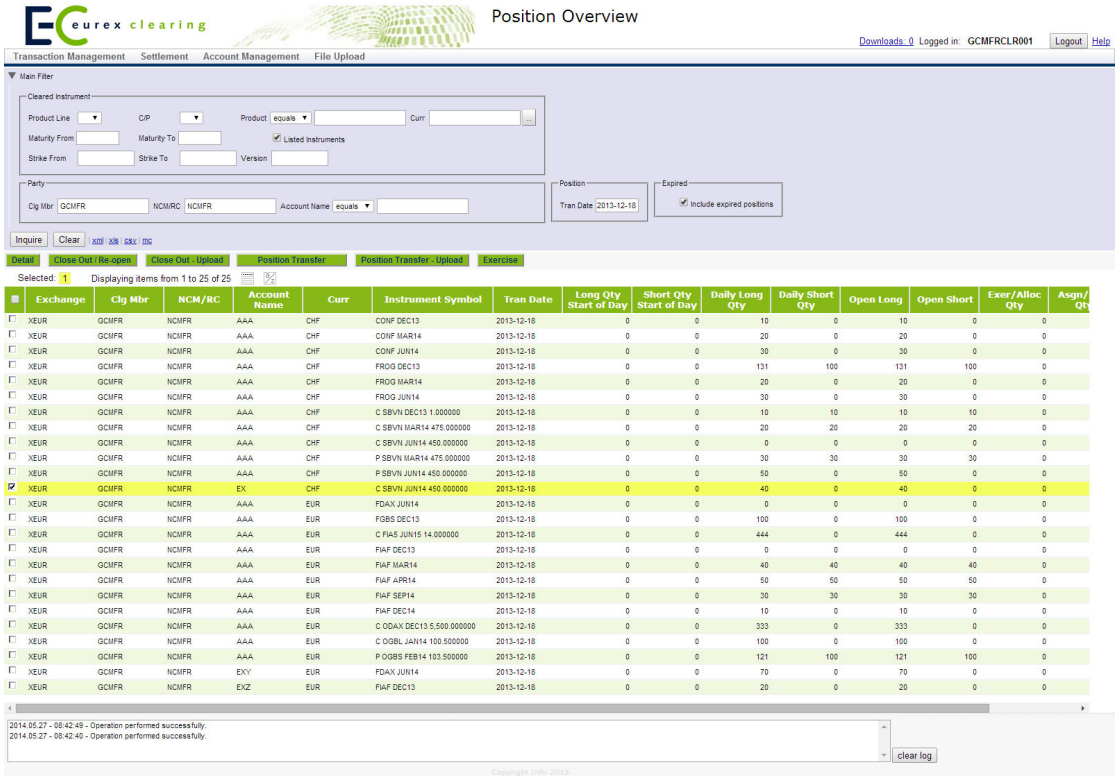
Change Password - Fields	
Field	**Description**
Username	User ID of the user whose password is supposed to be changed.
Old Password	Current password that belongs to the entered user ID.
New Password	The new password has to comply with the complexity requirements.
Repeat New Password	To prevent typos in the password, the new password must be entered a second time.

4.2 Position Overview

4.2.1 Description

The *Position Overview* window can be accessed from the *Transaction Management* menu in the main menu or via the *Overview* button in the *Transaction Overview* window. It displays the summary of position movements and the up-to-date position balances by contract. Certain types of position adjustments can be initiated from this window. Further details about these functions can be found in the “Functionality” section of this window.

The *Position Overview* window shows a summary of the up-to-date positions of the logged-in user. In order to list only positions of interest, a filter function is provided. At the top of the window there are various filter fields. Upon inquiry, all positions matching the selected filter criteria are listed in the table.



Position Overview window

4.2.2 Functionality

Below the filter area there is a number of buttons to perform certain position adjustments or initiate further functionality.

Position Overview function buttons

Detail

The *Detail* button is enabled if a single position is selected from the display table. When this button is clicked, the *Transaction Overview* window is opened with detailed transaction information for the selected position and account on the specified transaction date. Alternatively, a double click on a position opens the respective transaction details as well.

Close Out / Re-opening

The *Close Out / Re-open* button is enabled if a single position with transaction date (*Tran Date*) equal to the current business day is selected from the display table. Moreover, positions held in the AAA account are not eligible for close out or re-opening. Hence, the button remains inactive if such a position is selected.

When this button is clicked, the *Position Close Out / Re-open* window is displayed as an overlay window with the details of the selected position prefilled.

To close out multiple positions at once, a file upload function is provided. The *Upload Position Close Out* window can be accessed by clicking the *Close Out - Upload* button or by selecting

Close Out - Upload from the *File Upload* menu. In this window, a CSV file containing the respective adjustment parameters can be uploaded.

Position Transfer

The *Position Transfer* button is enabled if a single position with an open long or short quantity is selected from the display table whose transaction date (*Tran Date*) equals the current business day. When this button is clicked, the *Position Transfer Entry* window is displayed as an overlay window with the details of the selected position prefilled.

To transfer multiple positions at once, a file upload function is provided. The *Upload Position Transfer* window can be accessed by clicking the *Position Transfer - Upload* button or by selecting *Position Transfer - Upload* from the *File Upload* menu. In this window, a CSV file containing the respective transfer parameters can be uploaded.

Exercise

The *Exercise* button is enabled if one or more eligible positions are selected from the display table. Only option positions are eligible for exercise, i.e. if a position in a futures contract is selected, the *Exercise* button remains disabled.

When this button is clicked, the *Exercise Overview* window is displayed as an overlay window with the selected positions listed in the display table.

4.2.3 Screen elements

Position Overview - Filter criteria	
Filter	**Description**
Product Line	Select a product line to filter for options or futures positions.
C/P	Filter for call or put contracts.
Product	Filter for positions in certain products.
Curr	Filter for positions in certain currencies.
Maturity From	Filter for positions which expire on or after the specified date.
Maturity To	Filter for positions which expire on or before the specified date.
Listed Instruments	If this checkbox is selected, only positions in listed instruments are shown.
Strike From	Filter for contracts with a strike price equal to or higher than the specified price.
Strike To	Filter for contracts with a strike price equal to or lower than the specified price.
Version	Filter for a certain contract version.
Clg Mbr	Filter for positions of a certain Clearing Member.
NCM/RC	Filter for positions of a certain Non Clearing Member or Registered Customer.
Account Name	Filter for positions booked on certain accounts.
Tran Date	Filter for a certain transaction date. This field is prefilled with the current business day. It is required to enter a date. If no date is entered, the *Inquire* button is disabled.
Include expired positions	Include positions into the inquiry result which have already expired. This checkbox is selected by default.

Position Overview - Buttons	
Button	**Description**
Detail	This button is only active if a single position is selected. It opens the *Transaction Overview* window with the detailed transaction information for the selected position and account on the specified transaction date.
Close Out / Re-open	This button is only active if a single position is selected whose transaction date (*Tran Date*) equals the current business day and which is not booked in the AAA account. It opens the *Position Close Out / Re-open* window to close or re-open the selected position.
Close Out - Upload	This button opens the *Upload Position Close Out* window which allows to import close out transactions via file upload.

Position Overview - Buttons	
Button	**Description**
Position Transfer	This button is only active if a single position is selected which has a sufficient open quantity. It opens the *Position Transfer Entry* window to transfer the selected position to a different account.
Position Transfer - Upload	This button opens the *Upload Position Transfer* window which allows to import position transfer transactions via file upload.
Exercise	This button is only active if one or more option positions are selected. It opens the *Exercise Overview* window to exercise the selected positions.

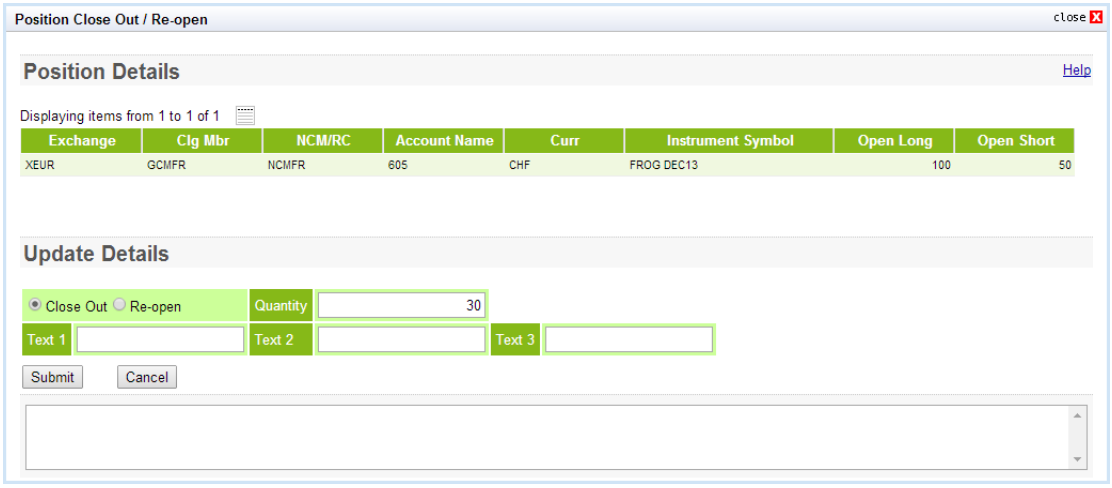
Position Overview - Table columns	
Column	**Description**
Exchange	Exchange ID.
Clg Mbr	Member ID of the Clearing Member.
NCM/RC	Member ID of the Non Clearing Member or Registered Customer.
Account Name	Account on which the position is booked.
Curr	Product currency.
C/P	Indicates a call or a put option.
Maturity	Maturity date of the contract.
Product	Product ID.
Strike	Strike price of the contract.
Version	Version of the contract.
Instrument Symbol	The instrument symbol summarizes the contract parameters. It consists of the call/put indicator, the product name, its maturity, the strike price and the version of the contract.
Tran Date	Transaction date.
Long Qty Start of Day	Open long position at start of day.
Short Qty Start of Day	Open short position at start of day.
Daily Long Qty	Net movements in the long position for the inquired business day.
Daily Short Qty	Net movements in the short position for the inquired business day.
Open Long	Up-to-date open long position.
Open Short	Up-to-date open short position.
Exer/Alloc Qty	Quantity that has been exercised or allocated.
Asgn/Noti Qty	Quantity that has been assigned for exercise or notified for delivery.
Abandoned Qty	Quantity that has been excluded from automatic exercise.

4.3 Position Close Out / Re-open

4.3.1 Description

The *Position Close Out / Re-open* window is accessed from the *Position Overview* window via the *Close Out / Re-open* button. It serves to close an open position or re-open a closed one. This adjustment is only applicable to positions which are not held in the AAA account.
Furthermore, only positions of the current business day can be closed out. Note that the re-opening of positions is not available indefinitely. The maximum re-opening quantity is defined by the previously closed-out quantity within a configurable time period. This re-opening period is configured by Eurex Clearing. Any changes to the configuration will be communicated via circular with ample lead time.

The *Position Close Out / Re-open* window summarizes the details of the position to be adjusted in a table. Below this table there are various fields to enter the adjustment.



Position Close Out / Re-Open window

4.3.2 Functionality

The *Position Close Out / Re-open* window supports both closing and re-opening of a position. Two radio buttons allow to toggle between these two adjustment types. The quantity to be closed out or re-opened needs to be entered into the *Quantity* field.

Close Out

To perform a position close out, the *Close Out* radio button must be selected. In a close out adjustment long and short quantities are set off against each other. Hence, only a position with quantities greater than zero on both the long and the short side can be closed out.

Furthermore, the desired amount entered into the *Quantity* field must not exceed the available amount on either side, i.e. *Quantity* ≤ *Open Long* and *Quantity* ≤ *Open Short.*

The provided text fields are optional and can be used to enter further information.

The *Submit* button is only active if all the mandatory fields are filled according to the conditions.

Re-open

To re-open a previously closed out position, the *Re-open* radio button must be selected. The desired amount entered in the *Quantity* field must not exceed the previously closed-out quantity.

The provided text fields are optional and can be used to enter further information.

If an error occurs, a message is displayed in the message log.

4.3.3 Screen elements

Position Close Out / Re-open - Fields	
Field	**Description**
Close Out	Select this radio button to close out a certain quantity.
Re-open	Select this radio button to re-open a certain quantity.
Quantity	Desired quantity to be closed out or re-opened. This field is mandatory and must fulfill the conditions explained above.
Text1	This is an optional free text field.
Text2	This is an optional free text field.
Text3	This is an optional free text field.

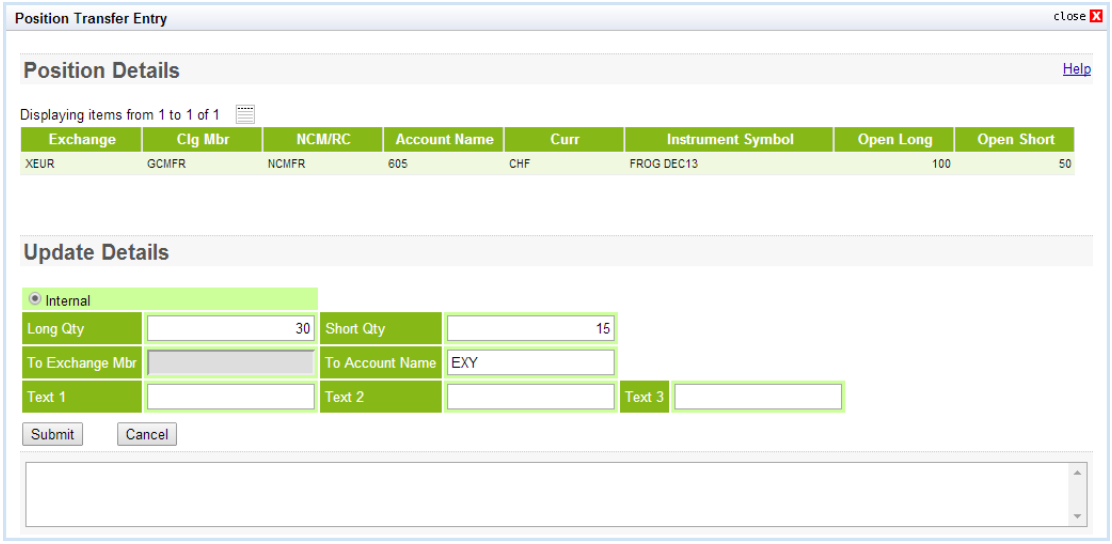
Position Close Out / Re-open - Buttons	
Button	**Description**
Submit	This button is only active if the *Quantity* field has been filled according to the conditions. Clicking the *Submit* button submits a request to perform the position adjustment and closes the overlay window.
Cancel	Cancels the adjustment without any changes and closes the overlay window.

4.4 Position Transfer Entry

4.4.1 Description

The *Position Transfer Entry* window is accessed from the *Position Overview* window via the *Position Transfer* button. It allows to transfer a position to a different account.

The *Position Transfer Entry* window summarizes the details of the position to be transferred in a table. Below this table there are various fields to enter the transfer.



Position Transfer Entry window

4.4.2 Functionality

Positions can be transferred to a different account entirely or just partially. To specify the quantity to be transferred, the fields *Long Qty* and/or *Short Qty* have to be filled in. The entered quantities must not exceed the available quantity on the respective side, i.e. *Long Qty* ≤ *Open Long* and *Short Qty* ≤ *Open Short.*

Furthermore, the target account needs to be defined. This is done in the *To Account Name* field.

The provided text fields are optional and can be used to enter further information.

The *Submit* button is only active if all mandatory fields are filled in according to the conditions.

If an error occurs, a message is displayed in the message log.

4.4.3 Screen elements

Position Transfer Entry - Fields	
Field	**Description**
Long Qty	Long quantity to be transferred. The entered value has to be greater than zero and must not exceed the available quantity on the long side of the position, i.e. *Long Qty* ≤ *Open Long*.
Short Qty	Short quantity to be transferred. The entered value has to be greater than zero and must not exceed the available quantity on the short side of the position, i.e. *Short Qty* ≤ *Open Short*.
To Account Name	Target account for the position transfer.
Text1	This is an optional free text field.
Text2	This is an optional free text field.
Text3	This is an optional free text field.

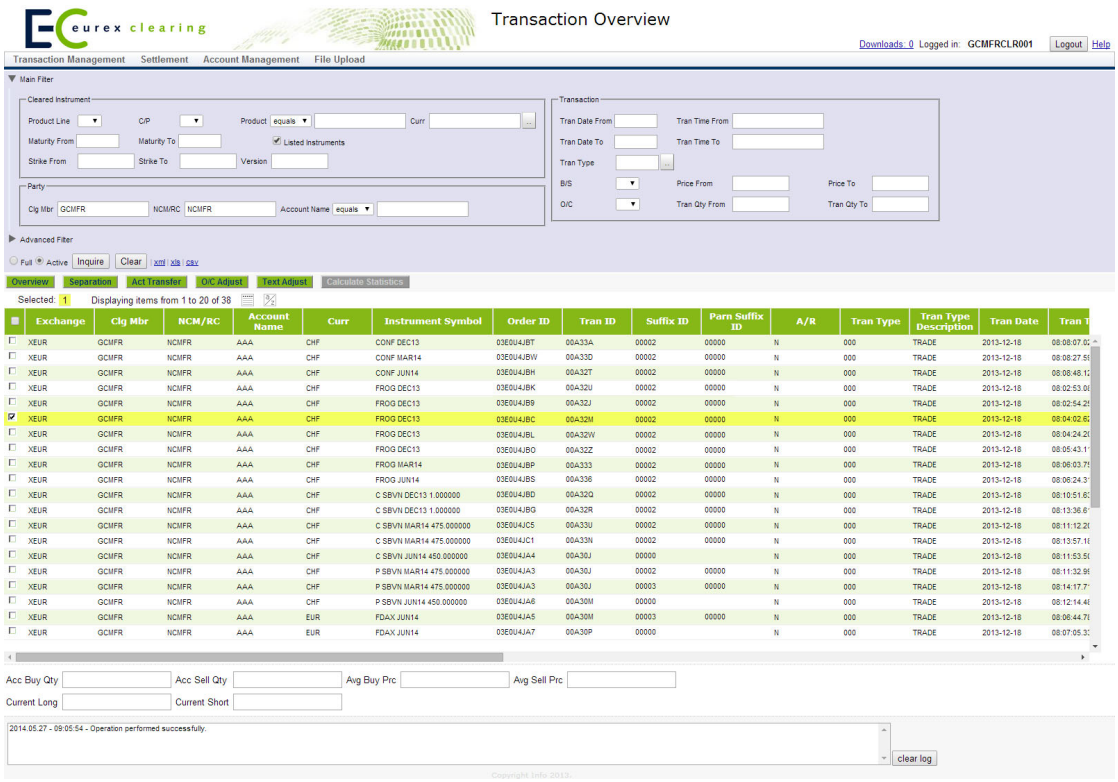
Position Transfer Entry - Buttons	
Button	**Description**
Submit	This button is only active if all mandatory fields have been filled according to the conditions. Clicking the *Submit* button submits a request to perform the position adjustment and closes the overlay window.
Cancel	Cancels the adjustment without any changes and closes the overlay window.

4.5 Transaction Overview

4.5.1 Description

The *Transaction Overview* window can be accessed from the *Transaction Management* menu in the main menu or by opening the position details via the *Details* button or via double click on a position in the *Position Overview* window. The *Transaction Overview* window displays detailed information of transactions. Certain types of transaction adjustments can be initiated from this window. Further details about these functions can be found in the “Functionality” section of this window.

The *Transaction Overview* window shows detailed information on transactions of the logged-in user. In order to list only transactions of interest, a filter function is provided. At the top of the window there are various filter fields. Upon inquiry, all transactions matching the selected filter criteria are listed in the table.



Transaction Overview window

If the window is opened via the *Details* button or a double click on a position in the *Position Overview* window, certain filter fields of the *Transaction Overview* window are prefilled according to the selected position and only transactions belonging to that position are displayed in the table.

Below the display table, there are some additional fields which provide statistical information on selected transactions. The calculation of the accumulated buy and sell quantities (*Acc Buy Qty*, *Acc Sell Qty*) along with the respective average prices (*Avg Buy Prc*, *Avg Sell Prc*) can be initiated by clicking the *Calculate Statistics* button.

Furthermore, information on the current position (*Curr Long, Curr Short*) are displayed automatically if the filter inquiry only returns transactions that all belong to the same position. Even if historic transactions were inquired, the position displayed in these two fields is the actual position at the time of inquiry.

4.5.2 Functionality

Below the filter area there is a number of buttons to perform certain transaction adjustments or initiate further functionality. The following functions are only available for active transactions.

Overview

If one or more transactions are selected which belong to the same position, the *Overview* button is enabled. It opens the *Position Overview* window to show the respective position information. The *Overview* button is not available if transactions with different instruments or accounts are selected.

Transaction Separation

Active transactions can be separated into two or more parts. This function can be invoked with the *Separation* button. Since only one transaction can be separated at a time, the button is only active if a single transaction is selected from the table. Furthermore, the transaction date (*Tran Date*) of the selected transaction needs to be equal to the current business day. Clicking the *Separation* button opens the *Transaction Separation* window as an overlay window with the details of the selected transaction prefilled.

Transaction Account Transfer

Active transactions can be transferred to a different account. Therefore, all the transactions to be transferred must be selected from the table in the *Transaction Overview* window. Multiple transactions can be transferred at once. Clicking the *Act Transfer* button opens the *Transaction Account Transfer* window as an overlay window with the details of the selected transactions prefilled.

Transaction Open/Close Adjustment

The open/close status of active transactions can be changed. Therefore, all the transactions to be adjusted must be selected from the table in the *Transaction Overview* window. Multiple transactions can be adjusted at once. Clicking the *O/C Adjust* button opens the *Transaction O/C Adjustment* window as an overlay window with the details of the selected transactions prefilled.

Transaction Text Adjustment

The custom information contained in the text fields of active transactions can be changed. Therefore, all the transactions to be adjusted must be selected from the table in the *Transaction Overview* window. Multiple transactions can be adjusted at once. Clicking the *Text Adjust* button opens the *Transaction Text Adjustment* window as an overlay window with the details of the selected transactions prefilled.

Calculate Statistics

For selected transactions, statistical information can be calculated. Below the display table in the *Transaction Overview* window various information fields show the accumulated buy and sell quantities (*Acc Buy Qty*, *Acc Sell Qty*) as well as the average buy and sell prices (*Avg Buy Prc*, *Avg Sell Prc*). These figures can be calculated for the selected transactions by clicking the *Calculate Statistics* button. This function is only available if transactions with the same instrument and maturity are selected from the table.

4.5.3 Screen elements

Transaction Overview - Filter criteria	
Filter	**Description**
Product Line	Filter for options or futures transactions.
C/P	Filter for call or put contracts.
Product	Filter for positions in certain products.
Curr	Filter for positions in certain currencies.
Maturity From	Filter for positions which expire on or after the specified date.
Maturity To	Filter for positions which expire on or before the specified date.
Listed Instruments	If this checkbox is selected, only transactions in listed instruments are shown.
Strike From	Filter for contracts with a strike price equal to or higher than the specified price.
Strike To	Filter for contracts with a strike price equal to or lower than the specified price.
Version	Filter for a certain contract version.
Clg Mbr	Filter for transactions of a certain Clearing Member.
NCM/RC	Filter for transactions of a certain Non Clearing Member or Registered Customer.
Account Name	Filter for transactions booked on certain accounts.
Tran Date From	Filter for transactions with a transaction date equal or later than the specified date.
Tran Time From	Filter for transactions with a transaction time equal to or later than the specified time.
Tran Date To	Filter for transactions with a transaction date equal to or earlier than the specified date.
Tran Time To	Filter for transactions with a transaction time equal to or earlier than the specified time.
Tran Type	Filter for a specific transaction type.
B/S	Filter for buy or sell transactions.
Price From	Filter for transactions in contracts with a price equal to or higher than the specified price.
Price To	Filter for transactions in contracts with a price equal to or lower than the specified price.
O/C	Filter for open or close transactions.
Tran Qty From	Filter for transactions with a transaction quantity equal to or higher than the specified value.
Tran Qty To	Filter for transactions with a transaction quantity equal to or lower than the specified value.
Include expired positions	Include positions into the inquiry result which have already expired. This checkbox is selected by default.
Order ID From	Specify the lower boundary of order IDs to filter for.

Transaction Overview - Filter criteria	
Filter	**Description**
Order ID To	Specify the upper boundary of order IDs to filter for.
Orig Order ID From	Specify the lower boundary of original order IDs to filter for.
Orig Oder ID To	Specify the upper boundary of original order IDs to filter for.
Text 1	Filter for specific values entered into the text field.
Text 2	Filter for specific values entered into the text field.
Text 3	Filter for specific values entered into the text field.
Orig Tran ID From	Specify the lower boundary of original transaction IDs to filter for.
Orig Tran ID To	Specify the upper boundary of original transaction IDs to filter for.
Orig Tran Type	Filter for a specific original transaction type.
Tran ID From	Specify the lower boundary of transaction IDs to filter for.
Tran ID To	Specify the upper boundary of transaction IDs to filter for.
Orig Tran Date From	Filter for transactions with an original transaction date equal to or later than the specified date.
Orig Tran Time From	Filter for transactions with an original transaction time equal to or later than the specified time.
Orig Tran Date To	Filter for transactions with an original transaction date equal to or earlier than the specified date.
Orig Tran Time To	Filter for transactions with an original transaction time equal to or earlier than the specified time.
Entering Participant	Filter for transactions that have been entered by a specific participant.
Entering User	Filter for transactions that have been entered by a specific user.
Full	If the *Full* inquiry mode is selected, all transactions which meet the filter criteria are displayed in the table.
Active	The *Active* mode is the default inquiry mode. If it is selected, only those transactions are displayed in the table which meet the filter criteria and can still be modified. Reverted or transferred transactions are not listed in this mode.

Transaction Overview - Buttons	
Button	**Description**
Overview	This button is only active if one or more transactions are selected from the display table which belong to the same position, i.e. have the same instrument and are booked to the same account. It opens the *Position Overview* window to show the respective position information.
Separation	This button is only active if a single transaction is selected whose transaction date (*Tran Date*) equals the current business day. It opens the *Transaction Separation* window to enter the separation details.
Act Transfer	This button is active if one or more transactions are selected whose transaction dates (*Tran Date*) equal the current business day. It opens the *Transaction Account Transfer* window to transfer the selected transactions.
O/C Adjust	This button is active if one or more transactions are selected whose transaction dates (*Tran Date*) equal the current business day and which are in the same open/close state. It opens the *Transaction O/C Adjustment* window to change the open/close state of the selected transactions.
Text Adjust	This button is active if one or more transactions are selected whose transaction dates (*Tran Date*) equal the current business day. It opens the *Transaction Text Adjustment* window to change the text fields of the selected transactions.
Calculate Statistics	This button is only active if multiple transactions with the same instrument and maturity are selected from the display table. It calculates the accumulated buy and sell quantities (*Acc Buy Qty*, *Acc Sell Qty*) as well as the average buy and sell prices (*Avg Buy Prc*, *Avg Sell Prc*) based on the selected transactions.

Transaction Overview - Table columns	
Column	**Description**
Exchange	Exchange ID.
Clg Mbr	Member ID of the Clearing Member.
NCM/RC	Member ID of the Non Clearing Member or Registered Customer.
Account Name	Account on which the transaction is booked.
Curr	Product currency.
C/P	Indicates a call or a put option.
Maturity	Maturity date of the contract.
Product	Product ID.
Strike	Strike price of the contract.
Version	Version of the contract.
Instrument Symbol	The instrument symbol summarizes the contract parameters. It consists of the call/put indicator, the product name, its maturity, the strike price and the version of the contract.

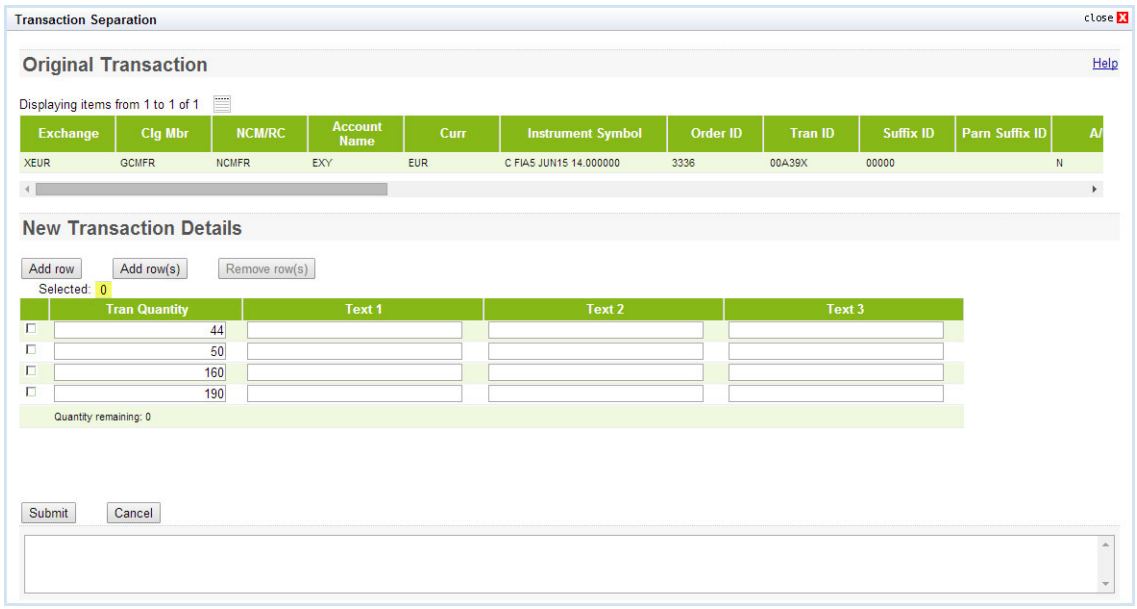
Transaction Overview - Table columns	
Column	**Description**
Order ID	Order number of the transaction.
Tran ID	Transaction identifier.
Suffix ID	Counter which is incremented with every modification of the transaction.
Parn Suffix ID	Reference to the parent suffix identifier.
A/R	Indicates whether a transaction has been adjusted (‘A’) or reversed (‘R’).
Tran Type	Transaction type code.
Tran Type Description	Description of the transaction type.
Tran Date	Transaction date.
Tran Time	Transaction time.
Trader ID	Indicates who entered the original trade.
Tran Status	Current transaction status.
Tran Description	Description of the transaction.
B/S	Indicates the buy or sell side.
O/C	Indicates a transaction to open or to close a position.
Orig Tran Type	Original transaction type.
Long	Position effect on the long side.
Short	Position effect on the short side.
Tran Qty	Transaction quantity.
Tran Price	Transaction price.
Premium	Transaction based premium to be paid or received.
Text 1	Free text field for additional information.
Text 2	Free text field for additional information.
Text 3	Free text field for additional information.
Orig Exch	Indicates at which exchange the trade was initiated originally.
Orig Contract ID	Original contract identifier.
Orig Tran ID	Original transaction identifier.
Orig Tran Date	Original transaction date.
Orig Tran Time	Original transaction time.
Orig Order ID	Original order identifier.
Entering Participant	Indicates which participant entered the transaction.
Entering User ID	Indicates which user entered the transaction.
Current Long	Current open long position.
Current Short	Current open short position.
Unique Tran ID	Unique transaction identifier.
Unique Suffix ID	Counter which is incremented with every modification of the transaction.

4.6 Transaction Separation

4.6.1 Description

The *Transaction Separation* window is an overlay window accessed from the *Transaction Overview* window which allows to split one transaction into up to 15 new transactions.

It summarizes the details of the transaction to be split in a table. Below this table there are various fields to enter the separation.



Transaction Separation window

4.6.2 Functionality

Initially, two rows of entry fields are provided to separate the original transaction into two new transactions. In each row the details for a new transaction can be entered. If the original transaction is supposed to be split into more than two parts, additional rows can be added by clicking the *Add row* or the *Add row(s)* button.

For each new transaction, the transaction quantity (*Tran Quantity*) can be defined along with three text fields (*Text1*, *Text2*, *Text3*). The text fields are optional. They can be filled with additional information for the new transactions. The quantity field, however, is mandatory. This field needs to be filled with a positive number between 1 and the remaining quantity displayed at the bottom of the list of new transactions. All of the original transaction quantity has to be distributed amongst the new transactions, i.e. the separation can only be processed if the remaining quantity is zero. The *Submit* button stays inactive as long as this is not fulfilled.

Redundant rows can be selected and then removed with the *Remove row(s)* button. At least two rows need to remain in the list of new transactions. They cannot be removed since a separation into less than two transactions is not feasible.

If there is only one empty row left and still a remaining quantity left to be distributed, the last empty transaction quantity field is automatically filled with the remaining amount.

If there are no empty rows left and a previously entered transaction quantity is reduced so that there is a certain quantity remaining again, this quantity is automatically distributed to a newly created row.

After successfully submitting the separation request by clicking the *Submit* button, the *Transaction Separation* window is closed automatically. If an error occurs, a message is displayed in the message log.

4.6.3 Screen elements

Transaction Separation - Fields	
Field	**Description**
Tran Quantity	This field is mandatory. It defines the respective quantity of the new transaction and must be filled with positive numbers between 1 and the remaining quantity displayed at the bottom of the list of new transactions.
Text1	This is an optional free text field.
Text2	This is an optional free text field.
Text3	This is an optional free text field.

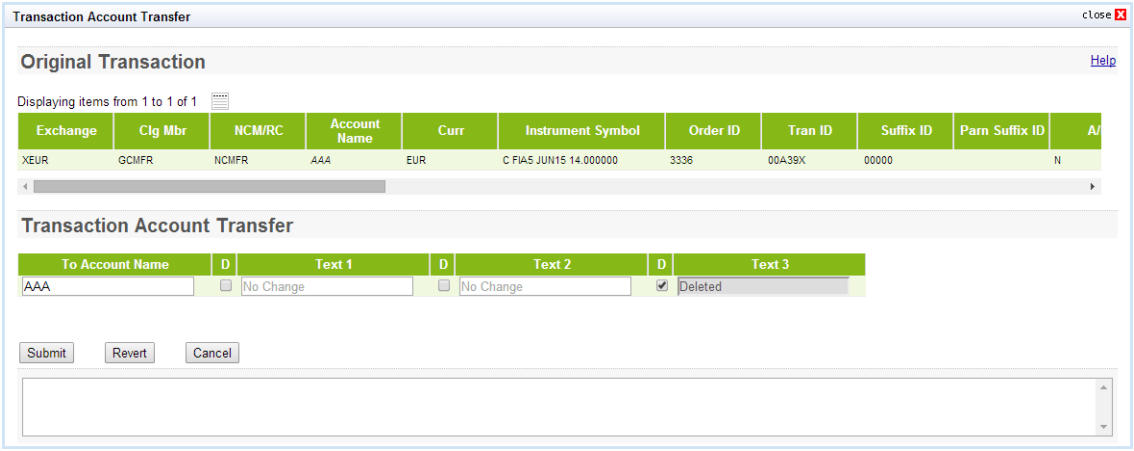
Transaction Separation - Buttons	
Button	**Description**
Add row	Adds a new row of entry fields to enter new transaction details.
Add row(s)	Adds a certain number of new rows of entry fields to enter new transaction details. The user is prompted for the number of new rows to be added.
Remove row	Removes a row of editable cells for new transaction details.
Submit	This button is only available if the remaining quantity equals zero. Clicking the *Submit* button submits a request to perform the transaction separation and closes the overlay window.
Cancel	Cancels the adjustment without any changes and closes the overlay window.

4.7 Transaction Account Transfer

4.7.1 Description

The *Transaction Account Transfer* window is an overlay window accessed from the *Transaction Overview* window which allows to transfer transactions to another account.

It summarizes the details of the transactions to be transferred in a table. Below this table there are various fields to enter the account transfer.



Transaction Account Transfer window

4.7.2 Functionality

Any number of transactions listed in the *Transaction Overview* window can be selected for an account transfer. Their details are displayed in the *Transaction Account Transfer* window. All of the transactions can be transferred at once by filling in the provided entry fields. It is mandatory to enter the destination account into the *To Account Name* field. The *Submit* button is only active if a destination account has been entered which is different from the source account.

The provided text fields (*Text1*, *Text2*, *Text3*) can optionally be used to change the original text fields of the transactions. Initially, they are not filled with any text, i.e. the individual text fields of the original transactions remain unchanged. If an alternative text is entered into one of the text fields, this new text is applied to the respective text field in every transferred transaction.

The changed account as well as the updated text fields can be previewed in the list of original transactions before they are actually submitted. The respective details are updated as they are entered into the fields. However, this is only a preview of the transaction details. No changes are applied to the transactions until the transfer request is actually submitted. The original transaction details are shown as a tooltip by hovering with the mouse over the respective entry in the details table.

The text fields cannot only be updated to a new text but the original text can also be deleted. Therefore, a checkbox is provided in front of each text field. If this check box is selected, the content of the respective text field is deleted in each transaction to be transferred. Again, this can be previewed in the details of the original transactions.

Note: Both the destination account and the text field changes apply to all of the transactions listed in the display table in the same way.

After submitting the transfer request by clicking the *Submit* button, all successfully transferred transactions are removed from the display table. If all transfers are successful, the *Transaction Account Transfer* window is closed automatically. Otherwise, it remains open with the transactions listed which failed to be transferred. In this case, an error message is displayed in the message log.

4.7.3 Screen elements

Transaction Account Transfer - Fields	
Field	**Description**
To Account Name	This field is mandatory. It defines the destination account of the transaction transfer.
D	If this check box in front of a text field is selected, the original content of the respective text field is deleted in the account transfer.
Text1	This is an optional free text field.
Text2	This is an optional free text field.
Text3	This is an optional free text field.

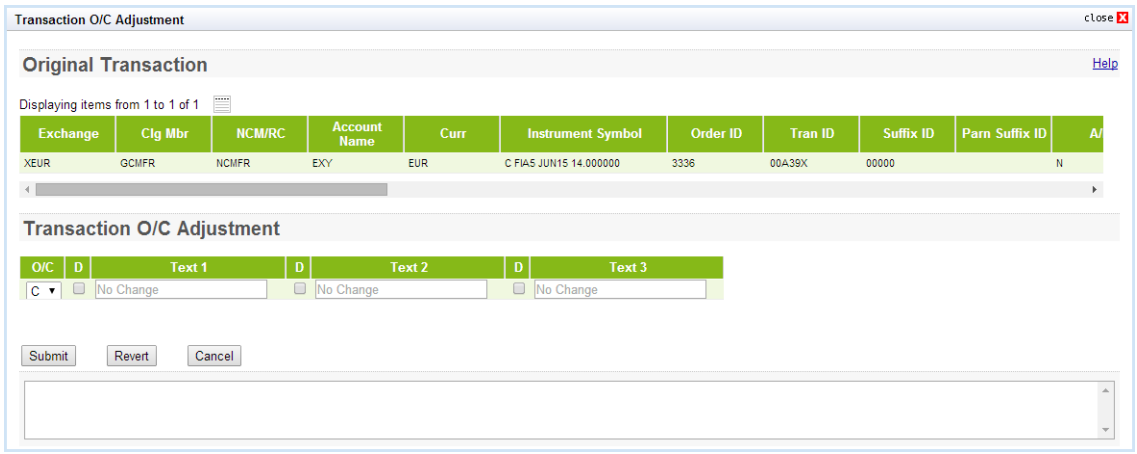
Transaction Account Transfer - Buttons	
Button	**Description**
Submit	This button is only active if a destination account is entered. Clicking the *Submit* button submits a request to perform the transaction account transfer and closes the overlay window if all the transactions could successfully be transferred.
Revert	Reverts all changes entered since the window was opened.
Cancel	Cancels the adjustment without any changes and closes the overlay window.

4.8 Transaction O/C Adjustment

4.8.1 Description

The *Transaction O/C Adjustment* window is an overlay window accessed from the *Transaction Overview* window which allows to adjust the open/close status of transactions.

It summarizes the details of the transactions to be adjusted in a table. Below this table there are various fields to enter the open/close adjustment.



Transaction O/C Adjustment window

4.8.2 Functionality

Any number of transactions listed in the *Transaction Overview* window that have the same open (*O*) or close (*C*) status can be selected for an O/C adjustment. Their details are displayed in the *Transaction O/C Adjustment* window. All of the transactions can be adjusted at once by filling in the provided entry fields. Depending on the current open/close status of the transactions, the appropriate new open/close status is pre-selected in the *O/C* field, i.e. if the transactions are currently “to open” (open/close status *O*), the new status “to close” (*C*) is pre-selected and vice versa.

The provided text fields (*Text1*, *Text2*, *Text3*) can optionally be used to change the original text fields of the transactions. Initially, they are not filled with any text, i.e. the individual text fields of the original transactions remain unchanged. If an alternative text is entered into one of the text fields, this new text is applied to the respective text field in every adjusted transaction.

The new open/close status as well as the updated text fields can be previewed in the list of original transactions before they are actually submitted. The respective details are updated as they are entered into the fields. However, this is only a preview of the transaction details. No changes are applied to the transactions until the adjustment request is actually submitted. The original transaction details are shown as a tooltip by hovering with the mouse over the respective entry in the details table.

The text fields cannot only be updated to a new text but the original text can also be deleted. Therefore, a checkbox is provided in front of each text field. If this check box is selected, the content of the respective text field is deleted in each transaction to be adjusted. Again, this can be previewed in the details of the original transactions.

Note: Both the new open/close status and the text field changes apply to all of the transactions listed in the display table in the same way.

After submitting the adjustment request by clicking the *Submit* button, all successfully adjusted transactions are removed from the display table. If all adjustments are successful, the *Transaction O/C Adjustment* window is closed automatically. Otherwise, it remains open with the transactions listed which failed to be updated. In this case, an error message is displayed in the message log.

4.8.3 Screen elements

Transaction O/C Adjustment - Fields	
Field	**Description**
O/C	Select the new open/close status from the dropdown list. Depending on the current open/close status of the transactions, the appropriate new status is pre-selected.
D	If this check box in front of a text field is selected, the original content of the respective text field is deleted in the adjustment.
Text1	This is an optional free text field.
Text2	This is an optional free text field.
Text3	This is an optional free text field.

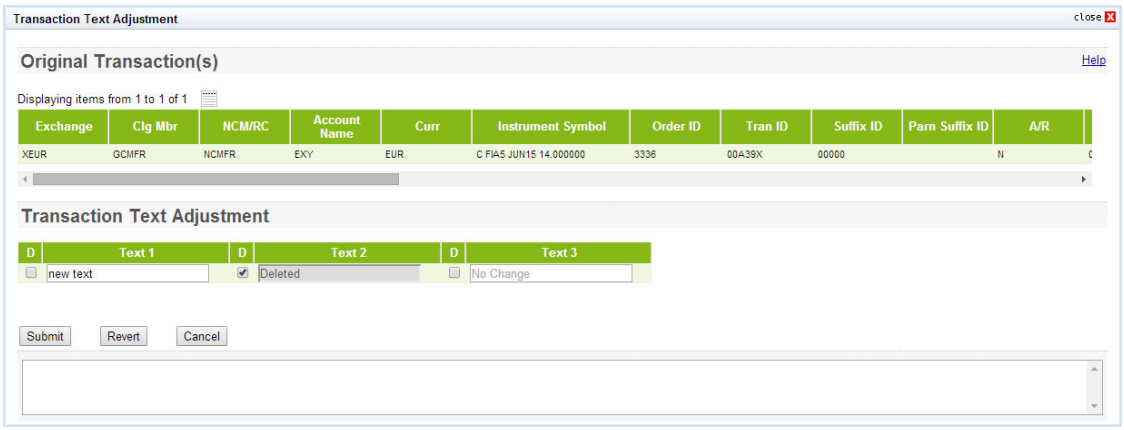
Transaction O/C Adjustment - Buttons	
Button	**Description**
Submit	This button is only active if a new open/close status is selected. Clicking the *Submit* button submits a request to perform the adjustment and closes the overlay window if all the transactions could successfully be updated.
Revert	Reverts all changes entered since the window was opened.
Cancel	Cancels the adjustment without any changes and closes the overlay window.

4.9 Transaction Text Adjustment

4.9.1 Description

The *Transaction Text Adjustment* window is an overlay window accessible from the *Transaction Overview* window which allows to update the content of the free text fields (*Text1*, *Text2*, *Text3*) of transactions.

It summarizes the details of the transactions to be adjusted in a table. Below this table there are various fields to update the individual text fields.



Transaction Text Adjustment window

4.9.2 Functionality

Any number of transactions listed in the *Transaction Overview* window can be selected for a text adjustment. Their details are displayed in the *Transaction Text Adjustment* window. All of the transactions can be adjusted at once by filling in the provided entry fields.

The provided text fields (*Text1*, *Text2*, *Text3*) can be used to change the original text fields of the transactions. Initially, they are not filled with any text, i.e. the individual text fields of the original transactions remain unchanged. If an alternative text is entered into one of the text fields, this new text is applied to the respective text field in every transaction listed in the window.

The updated text fields can be previewed in the list of original transactions before they are actually submitted. The respective details are updated as they are entered into the fields. However, this is only a preview of the transaction details. No changes are applied to the transactions until the adjustment request is actually submitted. The original transaction details are shown as a tooltip by hovering with the mouse over the respective entry in the details table.

The text fields cannot only be updated to a new text but the original text can also be deleted. Therefore, a checkbox is provided in front of each text field. If this check box is selected, the content of the respective text field is deleted in each transaction. Again, this can be previewed in the details of the original transactions.

Note: The text field changes apply to all of the transactions listed in the display table in the same way.

The *Submit* button is only active if at least one text field is filled with a new value or marked for deletion.

After submitting the adjustment request by clicking the *Submit* button, all successfully adjusted transactions are removed from the display table. If all adjustments are successful, the *Transaction Text Adjustment* window is closed automatically. Otherwise, it remains open with the transactions listed which failed to be updated. In this case, an error message is displayed in the message log.

4.9.3 Screen elements

Transaction Text Adjustment - Fields	
Field	**Description**
D	If this check box in front of a text field is selected, the original content of the respective text field is deleted in the adjustment.
Text1	This is a free text field.
Text2	This is a free text field.
Text3	This is a free text field.

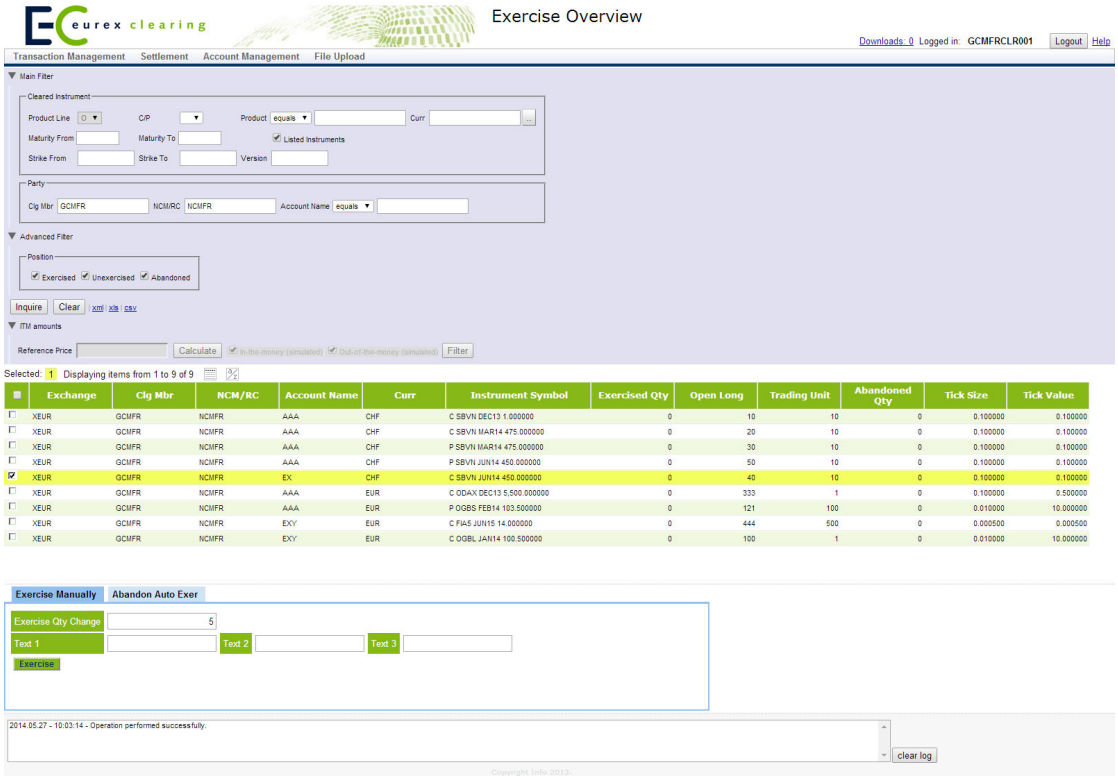
Transaction Text Adjustment - Buttons	
Button	**Description**
Submit	This button is only active if at least one text field is changed or marked for deletion. Clicking the *Submit* button submits a request to perform the adjustment and closes the overlay window if all the transactions could successfully be updated.
Revert	Reverts all changes entered since the window was opened.
Cancel	Cancels the adjustment without any changes and closes the overlay window.

4.10 Exercise Overview

4.10.1 Description

The *Exercise Overview* window can be accessed from the *Settlement* menu in the main menu or via the *Exercise* button in the *Position Overview* window. It displays the user's option positions and allows to manually exercise positions or abandon positions from automatic exercise.

The *Exercise Overview* window shows current options positions. In order to list only positions of interest, a filter function is provided. At the top of the window there are various fields which can be filled with criteria to filter for. Upon inquiry, all positions matching the selected filter criteria are listed in the table. Below the display table, there are two separate tabs. One for position exercise and one for abandoning.



Exercise Overview window

If the window is opened via the *Exercise* button in the *Position Overview* window, certain filter fields of the *Exercise Overview* window are prefilled according to the selected positions.

4.10.2 Functionality

Unlike the filter function in the *Position Overview* window a filter inquiry in the *Exercise Overview* window only returns options positions which have not expired yet. Only those positions can be exercised manually or abandoned from automatic exercise. Positions held in the AAA account cannot be exercised manually.
By default, the advanced filter is set in a way that the inquiry returns all positions which have an exercised, unexercised or abandon quantity greater than zero. To filter for positions with a zero quantity, all check boxes have to be unchecked.

Calculate ITM amounts

To narrow down the list of filter results even further, the filter area of the *Exercise Overview* window provides an ITM calculator with which the in-the-money and out-of-the-money amounts can be simulated. This tool is only available if the inquiry is limited to a single product.
The ITM amounts are calculated by entering a price into the *Reference Price* field and clicking the *Calculate* button. Upon this, the *ITM Per Contract* and *ITM Total* columns in the display table are filled with the respective results. Now the positions can be filtered based on the simulated in-the-money and out-of-the-money amounts by checking the respective check box and clicking the *Filter* button.

Below the list of positions there are individual tabs for manual exercise and for abandoning.

Manual Exercise

To exercise positions manually, one or more positions need to be selected from the display table. The exercised quantity of the selected positions can be adjusted with the fields provided in the *Exercise Manually* tab. It can be increased or decreased by entering a positive or a negative value into the *Exercise Qty Change* field. However, the entered value must not exceed the open long quantity of any selected position. A negative value (unexercise) must not exceed the previously exercised quantity of any selected position. If the entered quantity exceeds one of the boundaries, the *Exercise* button is disabled.

The provided text fields (*Text1*, *Text2*, *Text3*) can be used to assign further information to the exercise transaction.

Abandon from Automatic Exercise

It might be necessary to exclude certain positions from the automatic exercise process. This can be done via the *Abandon Auto Exer* tab. The quantity to be abandoned can be adjusted by filling in the *Abandon Qty Change* field. It can be increased or decreased by entering a positive or a negative value. If a positive value is entered, it may exceed the current open long position. However, a negative value must not exceed the previously abandoned quantity (*Abandoned Qty*).

If an error occurs, a message is displayed in the message log.

4.10.3 Screen elements

Exercise Overview - Filter criteria	
Filter	**Description**
Product Line	Since only options can be exercised, the product line is fixed to *O* in this window.
C/P	Filter for call or put contracts.
Product	Filter for positions in certain products.
Curr	Filter for positions in certain currencies.
Maturity From	Filter for positions which expire on or after the specified date.
Maturity To	Filter for positions which expire on or before the specified date.
Listed Instruments	If this checkbox is selected, only transactions in listed instruments are shown.
Strike From	Filter for contracts with a strike price equal to or higher than the specified price.
Strike To	Filter for contracts with a strike price equal to or lower than the specified price.
Version	Filter for a certain contract version.
Clg Mbr	Filter for positions of a certain Clearing Member.
NCM/RC	Filter for positions of a certain Non Clearing Member or Registered Customer.
Account Name	Filter for positions booked on certain accounts.
Exercised	Select this check box to include exercised positions in the inquiry result.
Unexercised	Select this check box to include unexercised positions in the inquiry result.
Abandoned	Select this check box to include positions in the inquiry result which are (partially) excluded from the automatic exercise process.
Reference Price	If the user has inquired for a single product, a reference price can be entered to calculate the ITM amounts for the displayed positions.
In-the-money (simulated)	After calculating the ITM amounts, select this check box and click the *Filter* button to show positions which are in-the-money based on the entered reference price.
Out-of-the-money (simulated)	After calculating the ITM amounts, select this check box and click the *Filter* button to show positions which are out-of-the-money based on the entered reference price.

Exercise Overview - Fields	
Field	**Description**
Exercise Qty Change	Increase or decrease the amount to exercise for the selected positions by filling in positive or negative values into this field.
Text1	Provide further information to the exercise transaction in this text field.

Exercise Overview - Fields	
Field	**Description**
Text2	Provide further information to the exercise transaction in this text field.
Text3	Provide further information to the exercise transaction in this text field.
Abandon Qty Change	Increase or decrease the amount to exclude from automatic exercise for the selected position.

Exercise Overview - Buttons	
Button	**Description**
Calculate	If the user has inquired for a single product and entered a reference price, clicking this button calculates the ITM amounts for the displayed positions.
Filter	After calculating the ITM amounts, clicking this button filters the display table for positions which are in-the-money or out-of-the-money, depending on the selection of the respective check boxes.
Exercise	This button is only active if the conditions described above are fulfilled. Clicking the button exercises/un-exercises the entered amount for the selected positions.
Abandon	This button is only active if the conditions described above are fulfilled. Clicking the button excludes/includes the entered amount from automatic exercise for the selected position.

Exercise Overview - Table columns	
Column	**Description**
Exchange	Exchange ID.
Clg Mbr	Member ID of the Clearing Member.
NCM/RC	Member ID of the Non Clearing Member or Registered Customer.
Account Name	Account on which the position is booked.
Curr	Product currency.
C/P	Indicates a call or a put option.
Maturity	Maturity date of the contract.
Product	Product ID.
Strike	Strike price of the contract.
Version	Version of the contract.
Instrument Symbol	The instrument symbol summarizes the contract parameters. It consists of the call/put indicator, the product name, its maturity, the strike price and the version of the contract.
Exercised Qty	Quantity that has been exercised.
Open Long	Up-to-date open long position.
Trading Unit	Contract size.
Abandoned Qty	Quantity that has been excluded from automatic exercise.

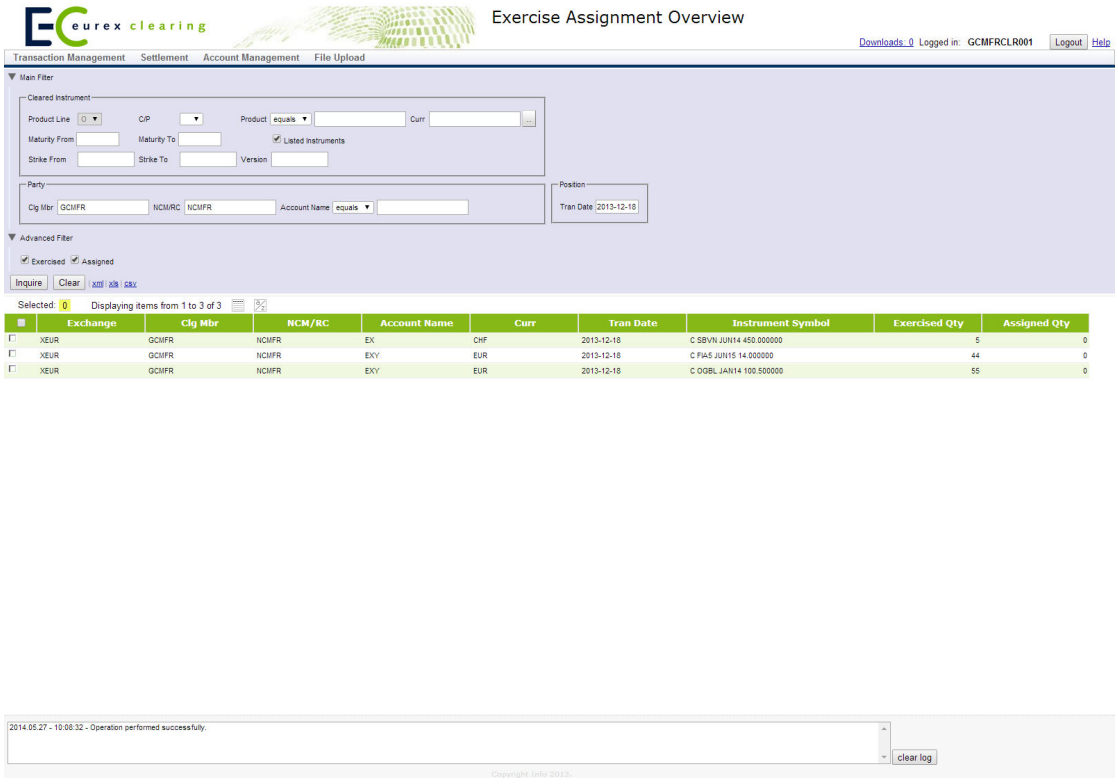
Exercise Overview - Table columns	
Column	**Description**
Tick Size	Smallest increment in which the price of a contract may change.
Tick Value	Monetary value represented by a one-tick movement in the contract price.
ITM Per Contract	In-the-money amount on a contract basis.
ITM Total	Accumulated in-the-money amount.

4.11 Exercise Assignment Overview

4.11.1 Description

The *Exercise Assignment Overview* window can be accessed from the *Settlement* menu in the main menu. It displays the user's exercised long positions and assigned short positions.

The *Exercise Assignment Overview* window shows exercised long positions and assigned short positions. In order to list only positions of interest, a filter function is provided. At the top of the window there are various fields which can be filled with criteria to filter for. Upon inquiry, all positions matching the selected filter criteria are listed in the table.



Exercise Assignment Overview window

4.11.2 Functionality

The assignments for the current business day can only be inquired after the assignments have been processed by the Eurex® System. Exercised positions are displayed immediately after the manual exercise request has been processed.

If an error occurs, a message is displayed in the message log.

4.11.3 Screen elements

Exercise Assignment Overview - Filter criteria	
Filter	**Description**
Product Line	Since only options can be exercised, the product line is fixed to *O* in this window.
C/P	Filter for call or put contracts.
Product	Filter for positions in certain products.
Curr	Filter for positions in certain currencies.
Maturity From	Filter for positions which expire on or after the specified date.
Maturity To	Filter for positions which expire on or before the specified date.
Listed Instruments	If this checkbox is selected, only transactions in listed instruments are shown.
Strike From	Filter for contracts with a strike price equal to or higher than the specified price.
Strike To	Filter for contracts with a strike price equal to or lower than the specified price.
Version	Filter for a certain contract version.
Clg Mbr	Filter for transactions of a certain Clearing Member.
NCM/RC	Filter for transactions of a certain Non Clearing Member or Registered Customer.
Account Name	Filter for transactions booked on certain accounts.
Tran Date	Filter for a certain transaction date.
Exercised	Select this check box to include exercised positions in the inquiry result.
Assigned	Select this check box to include assigned positions in the inquiry result.

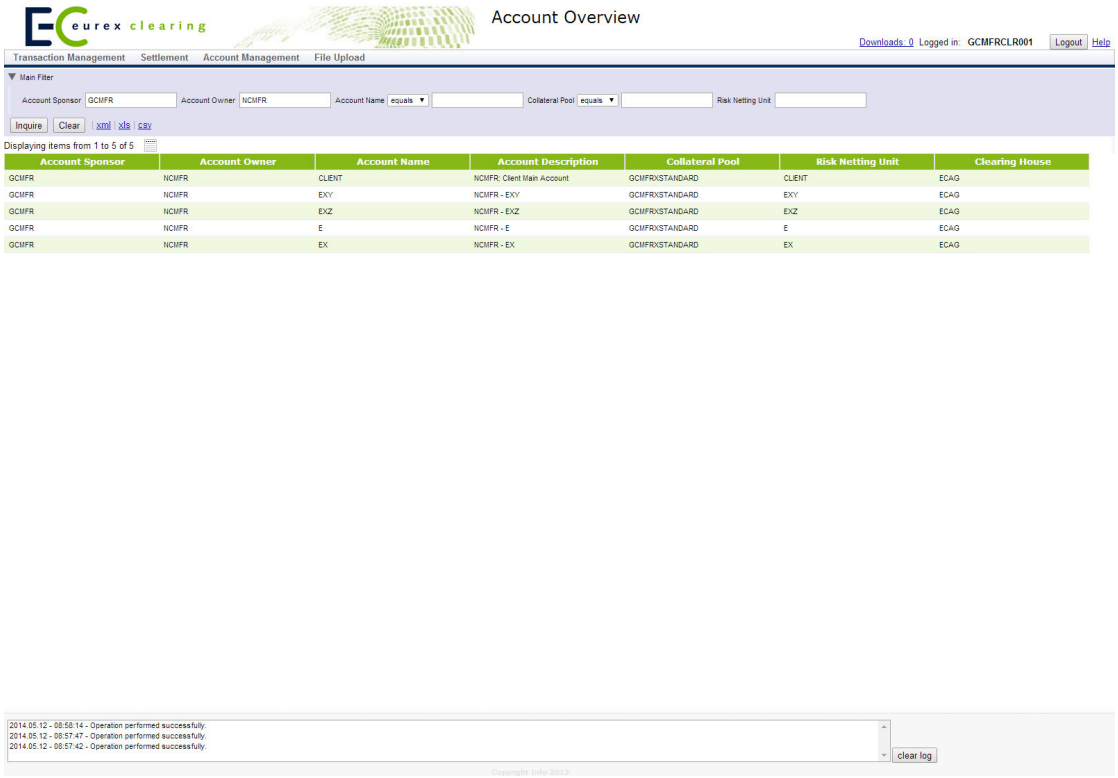
Exercise Assignment Overview - Table columns	
Column	**Description**
Exchange	Exchange ID.
Clg Mbr	Member ID of the Clearing Member.
NCM/RC	Member ID of the Non Clearing Member or Registered Customer.
Account Name	Account on which the position is booked.
Curr	Product currency.
Tran Date	Transaction date.
Instrument Symbol	The instrument symbol summarizes the contract parameters. It consists of the call/put indicator, the product name, its maturity, the strike price and the version of the contract.
Exercised Qty	Quantity that has been exercised.
Assigned Qty	Quantity that has been assigned for exercise to the Member.
C/P	Indicates a call or a put option.
Maturity	Maturity date of the contract.

Exercise Assignment Overview - Table columns	
Column	**Description**
Product	Product ID.
Strike	Strike price of the contract.
Version	Version of the contract.
Tick Size	Smallest increment in which the price of a contract may change.
Tick Value	Monetary value represented by a one-tick movement in the contract price.

4.12 Account Overview

4.12.1 Description

The *Account Overview* window can be accessed from the *Account Management* menu in the main menu. It displays the flexible accounts (additional agent accounts) for a Member.



Account Overview window

4.12.2 Functionality

The logged in user can inquire a list of currently set-up Member accounts. For every account, detailed information are displayed.

Currently, this window only supports sorting for one column at a time. Multi-column sorting is not available. To sort the result table for a certain criterion, click on the respective column header.

4.12.3 Screen elements

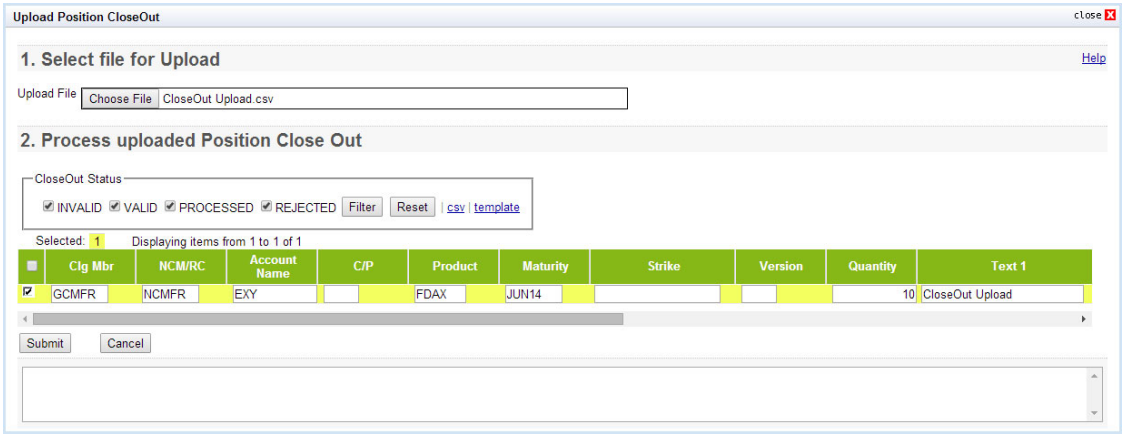
Account Overview - Filter criteria	
Filter	**Description**
Account Sponsor	Filter for a certain account sponsor.
Account Owner	Filter for a certain account owner.
Account Name	Filter for a certain account name.
Collateral Pool	Filter for a certain collateral pool.
Risk Netting Unit	Filter for a certain risk netting unit.

Account Overview - Table columns	
Column	**Description**
Account Sponsor	Sponsor of the account.
Account Owner	Owner of the account.
Account Name	Name of the account.
Account Description	Description of the account.
Collateral Pool	Unique ID of the collateral pool.
Risk Netting Unit	The margin requirements are calculated per risk netting unit.
Clearing House	Clearing house.

4.13 Upload Position Close Out

4.13.1 Description

The *Upload Position Close Out* window can be accessed from the *File Upload* menu in the main menu. It allows to close out multiple positions at once by uploading a file in CSV format.



Upload Position Close Out window

4.13.2 Functionality

Clicking the *Choose File* button opens a selection window to import a file into the system. The uploaded file must contain the close out parameters as a list of comma separated values. Each line represents one position close out and must follow a certain pattern:

```
"AccountSponsor", "AccountOwner", "AccountName", "CallPut", "ProductSymbol", "Maturity",
"Strike", "Version", "TransactionQuantity", "Text1", "Text2", "Text3"
```

If the file does not comply with this format, an error message is displayed. Upon successful upload, the content of the file is displayed in the table. All the entered values are checked for valid syntax. Fields with invalid input are specially highlighted. In that case, an error message is displayed by hovering the mouse over the icon next to the erroneous field.

If all entry fields for one position close out are filled with valid data, the status of that row is "VALID". Only close out transactions with this status can be selected for import into the system.

Clicking the *Submit* button imports the selected records into the system. The *Upload Position Close Out* window is updated to display the new status of the uploaded records. If the import was successful the status is changed to "PROCESSED".

In case of a failed import attempt, the *Status Information* field gives further explanations on the failure reason and an error message is displayed in the message log.

4.13.3 Screen elements

Upload Position Close Out - Filter criteria	
Filter	**Description**
INVALID	If this checkbox is selected, the list of close out transactions parsed from the uploaded file contains all records with status "INVALID".
VALID	If this checkbox is selected, the list of close out transactions parsed from the uploaded file contains all records with status "VALID".
PROCESSED	If this checkbox is selected, the list of close out transactions parsed from the uploaded file contains all records with status "PROCESSED".
REJECTED	If this checkbox is selected, the list of close out transactions parsed from the uploaded file contains all records with status "REJECTED".

Upload Position Close Out - Fields	
Field	**Description**
Clg Mbr	Displays the information parsed from the uploaded file. This field can be edited before submission.
NCM/RC	Displays the information parsed from the uploaded file. This field can be edited before submission.
Account Name	Displays the information parsed from the uploaded file. This field can be edited before submission.
C/P	Displays the information parsed from the uploaded file. This field can be edited before submission.
Maturity	Displays the information parsed from the uploaded file. This field can be edited before submission.

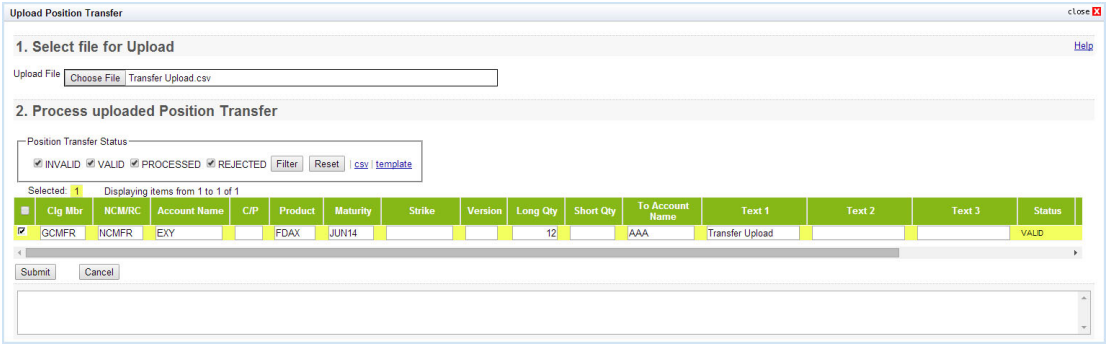
Upload Position Close Out - Fields	
Field	**Description**
Product	Displays the information parsed from the uploaded file. This field can be edited before submission.
Strike	Displays the information parsed from the uploaded file. This field can be edited before submission.
Version	Displays the information parsed from the uploaded file. This field can be edited before submission.
Quantity	Displays the information parsed from the uploaded file. This field can be edited before submission.
Text 1	Displays the information parsed from the uploaded file. This field can be edited before submission.
Text 2	Displays the information parsed from the uploaded file. This field can be edited before submission.
Text 3	Displays the information parsed from the uploaded file. This field can be edited before submission.
Status	Displays the import status of each close out transaction. Only transactions marked “VALID” can be selected for import.
Status Information	After submitting the selected close out transactions to be imported into the system, this field displays further information on the upload status of each transaction.

Upload Position Close Out - Buttons	
Button	**Description**
Choose File	Opens the file selection window to choose the file to be uploaded.
Filter	Filters the list of uploaded transactions according to the selected checkboxes.
Reset	Resets the filter checkboxes to the default selection (all checked).
Submit	This button is only active if at least one record is selected. Clicking the *Submit* button submits a request to import the selected transactions.
Cancel	Cancels the upload and closes the overlay window.

4.14 Upload Position Transfer

4.14.1 Description

The *Upload Position Transfer* window can be accessed from the *File Upload* menu in the main menu. It allows to transfer multiple positions at once by uploading a file in CSV format.



Upload Position Transfer window

4.14.2 Functionality

Clicking the *Choose File* button opens a selection window to import a file into the system. The uploaded file must contain the transfer parameters as a list of comma separated values. Each line represents one position transfer and must follow a certain pattern:

```
"AccountSponsor", "AccountOwner", "AccountName", "CallPut", "ProductSymbol", "Maturity",
"Strike", "Version", "LongQty", "ShortQty", "ToAccountName", "Text1", "Text2", "Text3"
```

If the file does not comply with this format, an error message is displayed. Upon successful upload, the content of the file is displayed in the table. All the entered values are checked for valid syntax. Fields with invalid input are specially highlighted. In that case, an error message is displayed by hovering the mouse over the icon next to the erroneous field.

If all entry fields for one record are filled with valid data, the status of that row is "VALID". Only records with this status can be selected for import into the system.

Clicking the *Submit* button imports the selected records into the system. The *Upload Position Transfer* window is updated to display the new status of the uploaded records. If the import was successful the status is changed to "PROCESSED".

In case of a failed import attempt, the *Status Information* field gives further explanations on the failure reason and an error message is displayed in the message log.

4.14.3 Screen elements

Upload Position Transfer - Filter criteria	
Filter	**Description**
INVALID	If this checkbox is selected, the list of position transfer transactions parsed from the uploaded file contains all records with status “INVALID”.
VALID	If this checkbox is selected, the list of position transfer transactions parsed from the uploaded file contains all records with status “VALID”.
PROCESSED	If this checkbox is selected, the list of position transfer transactions parsed from the uploaded file contains all records with status “PROCESSED”.
REJECTED	If this checkbox is selected, the list of position transfer transactions parsed from the uploaded file contains all records with status “REJECTED”.

Upload Position Transfer - Fields	
Field	**Description**
Clg Mbr	Displays the information parsed from the uploaded file. This field can be edited before submission.
NCM/RC	Displays the information parsed from the uploaded file. This field can be edited before submission.
Account Name	Displays the information parsed from the uploaded file. This field can be edited before submission.
C/P	Displays the information parsed from the uploaded file. This field can be edited before submission.
Product	Displays the information parsed from the uploaded file. This field can be edited before submission.
Maturity	Displays the information parsed from the uploaded file. This field can be edited before submission.
Strike	Displays the information parsed from the uploaded file. This field can be edited before submission.
Version	Displays the information parsed from the uploaded file. This field can be edited before submission.
Long Qty	Displays the information parsed from the uploaded file. This field can be edited before submission.
Short Qty	Displays the information parsed from the uploaded file. This field can be edited before submission.
To Account Name	Displays the information parsed from the uploaded file. This field can be edited before submission.
Text 1	Displays the information parsed from the uploaded file. This field can be edited before submission.
Text 2	Displays the information parsed from the uploaded file. This field can be edited before submission.

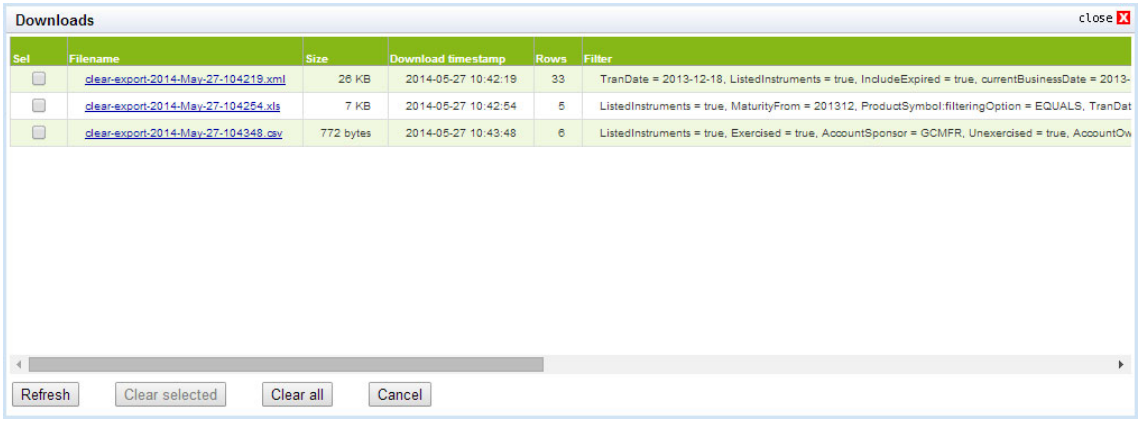
Upload Position Transfer - Fields	
Field	**Description**
Text 3	Displays the information parsed from the uploaded file. This field can be edited before submission.
Status	Displays the import status of each position transfer. Only transactions marked “VALID” can be selected for import.
Status Information	After submitting the selected position transfer transactions to be imported into the system, this field displays further information on the upload status of each transaction.

Upload Position Transfer - Buttons	
Button	**Description**
Choose File	Opens the file selection window to choose the file to be uploaded.
Filter	Filters the list of uploaded transactions according to the selected checkboxes.
Reset	Resets the filter checkboxes to the default selection (all checked).
Submit	This button is only active if at least one record is selected. Clicking the *Submit* button submits a request to import the selected transactions.
Cancel	Cancels the upload and closes the overlay window.

4.15 Downloads

4.15.1 Description

The *Downloads* window can be accessed by clicking the *Downloads* link in the application header. It displays the requested export files which are ready for download in a table.
Various meta information is provided for every export file, e.g. the time when the export has been requested in CET format and the filter criteria which were applied for the display table contained in the export.



Downloads window

4.15.2 Functionality

A click on the file name starts the download of an export file. After the download all export files remain available in the download list until the user logs out of his session or removes the files from the list manually.

Files which are not needed any longer can be removed from the download list by selecting the respective files and clicking the *Clear selected* button. Alternatively, all files can be removed at once by clicking the *Clear all* button.

4.15.3 Screen elements

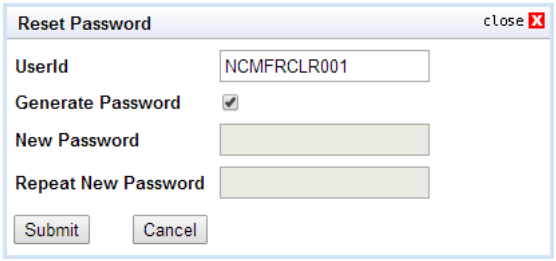
Downloads - Buttons	
Button	**Description**
Refresh	Reloads the list of requested exports which are ready for download.
Clear selected	Deletes the selected export files from the list. Hence, they cannot be downloaded any longer.
Clear all	Deletes all export files from the list. Hence, they cannot be downloaded any longer.
Cancel	Closes the overlay window.

4.16 Reset Password

4.16.1 Description

The *Reset Password* window can be accessed by clicking the *Reset Password* button in the application header if the currently logged-in user is entitled to use this function. Otherwise, the *Reset Password* button is not visible to the user.

The *Reset Password* window allows to change or reset the current password of the logged-in user or on behalf of another user.



Reset Password window

4.16.2 Functionality

To reset the password for a user, the respective user ID has to be entered. There are two options to set a new password: It can either be generated randomly or entered manually. If the *Generate Password* check box is selected, the new password is displayed after clicking the *Submit* button. Alternatively, this check box can be unchecked to enter a self chosen password. In this case, the entered password is not displayed after clicking the *Submit* button. The entered password must comply with the complexity requirements that are applicable to all new passwords. Please refer to the description of the *Change Password* functionality for further details.

The reset password is valid immediately and can be used to login for 48 hours. If the reset password is not used within this time frame, it expires and has to be reset again. During the first login with the reset password, the user is requested to set a new personal password.

4.16.3 Screen elements

Reset Password - Fields	
Field	**Description**
UserId	ID of the user whose password is supposed to be reset.
Generate Password	If this check box is selected, a random password is generated and displayed upon clicking the *Submit* button.
New Password	This field is active if the *Generate Password* check box is not selected. The new password must comply with the complexity requirements.
Repeat New Password	To prevent typos in the password, the new password must be entered a second time.

Reset Password - Buttons	
Button	**Description**
Submit	This button is only active if the *Generate Password* check box is selected or if both the *New Password* and the *Repeat New Password* fields are filled. Clicking the *Submit* button submits a request to reset the password for the entered user.
Cancel	Closes the overlay window.

5 Appendix

5.1 Supported ASCII characters

Index	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47
Character		!1	“	#	$	%	&	‘	(	)	*1	+	,	-	.	/
Index	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63
Character	0	1	2	3	4	5	6	7	8	9	:	;	<	=	>	?
Index	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79
Character	@	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
Index	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95
Character	P	Q	R	S	T	U	V	W	X	Y	Z	[	\	]	^	_
Index	96	97	98	99	100	101	102	103	104	105	106	107	108	109	110	111
Character	`	a	b	c	d	e	f	g	h	i	j	k	l	m	n	o
Index	112	113	114	115	116	117	118	119	120	121	122	123	124	125	126	
Character	p	q	r	s	t	u	v	w	x	y	z	{	|1	}	~	

1.The exclamation mark ‘!’ (33) and the pipe ‘|’ (124) are not supported in text fields. Additionally, the asterisk ‘*’ (42) is not supported in account descriptions.

5.2 Supported keyboard short-cuts

Ctrl + C	Copy selected contents to the clipboard.
Ctrl + V	Paste the contents of the clipboard.
Ctrl + A	Select all elements from the element where the focus is currently, e.g. if focus is in a text field all characters in the text field are selected.
Ctrl + P	Open print menu of browser.
Tab	Switch to next focusable element.

5.3 Glossary

API	The **A**pplication **P**rogramming **I**nterface defines the communication between different software components.
ATM	An option position is **A**t-**T**he-**M**oney if its exercise price is equal to the price of the underlying product.
CET	**C**entral **E**uropean **T**ime.
CSV	A file in CSV (**C**omma-**S**eparated **V**alues) format contains different values separated by a delimiter. Those files can be imported into and exported from the system.
DCM	**D**irect **C**learing **M**ember.
GCM	**G**eneral **C**learing **M**ember.
GUI	A **G**raphical **U**ser **I**nterface is the application frontend that is presented to the user to interact with the system.
ITM	An option position is **I**n-**T**he-**M**oney if its intrinsic value is greater than zero.

Appendix

NCM	A **N**on **C**learing **M**ember is an exchange participant that does not hold a clearing license. Such a participant must have a clearing agreement in effect with a General Clearing Member or a company-affiliated Direct Clearing Member.
OTM	An option position is **O**ut-of-**T**he-**M**oney if its intrinsic value is less than zero.
RAL	Various **R**esource **A**ccess **L**evels define access rights for certain functions.
RC	A **R**egistered **C**ustomer is an individually segregated client of a Clearing Member who has no access to the trading or clearing environment. The respective GCM has to fulfill all necessary back-office functions.
XLS	XLS is the proprietary file format for Microsoft Excel spreadsheets.